

**Please amend the Specification as follows:**

**Page 1, lines 5-8:**

This application claims the benefit of United States Provisional Application Serial No.

Q1 | 60/133,152 entitled "PROCESS MANAGEMENT INFORMATION" filed on May 7, 1999, which is incorporated herein.

**Page 1, lines 10-15:**

Q2 | Reputable authorities have documented industry's difficulty with successfully implementing either strategic plans or initiatives (e.g., reengineering: 2/3 fail; mergers: 57% fall short; IT projects: only 34% are implemented and take twice as long and twice as much money as projected). In addition, common frustrations of business executives around ~~today's~~ resulting from rapid rate of change can be paraphrased as follows:

**Page 7 line 21 – pg 9 line 8**

Implementations of this or another aspect of the invention may include one or more of the following features. The fundamental components may include a customer component and at least one of the data items may represent the customer component and may include customer

Q3 | information for the program management office. The customer information may includes a description of an internal customer, an external customer, a product, or a service. The fundamental components may include a process component and at least one of the data items may represent the process component and may include process information for the program management office. The process information may describe a process to be executed by at least one person to help meet a commitment to a customer, a process that includes identifying a customer need, a process that includes identifying an entity that is important, a prioritization process, a system delivery process, a process that includes an evaluation process, a process that includes a project management process, a process that includes performing a cost/benefit analysis, a process that includes an accountability process, a process that includes providing metrics, a process that includes providing reporting, a process that includes providing risk management, a process that includes a staffing process, a process that includes a training process, or a process that includes a

a3 decision making process. The fundamental components may include a capabilities component and at least one of the data items may represent the capabilities component and may include capabilities information for the program management office. The capabilities information may describe a capability that is needed for meeting a client requirement, a capability that includes business unit coverage, a capability that includes a technical skill, a capability that includes providing a helpful partner, a capability that includes a project management skill, or a capability that includes a technology that is important to a customer. The fundamental components may include an economics component and at least one of the data items may represent the economics component and may include economics information for the project management office. The economics information may include a description of expenses or a description of revenue.

**Page 9, lines 8 – 17**

a4 In another aspect, the invention features a method for use in processing management information for managing a scalable process. The method includes acquiring a first set of computer data representing a model of the scalable process, the model having fundamental components, the first set of computer data including data items representing the fundamental components; associating the first set of computer data with a second set of computer data representing a portfolio of management concepts; and issuing a scalable process report of management concepts based on the second set of computer data, the scalable process report being sorted by fundamental component.

**Page 11, line 12 – 17**

**BRIEF DESCRIPTION OF THE DRAWINGS**

Figs. 1-2 and 4 are block diagrams of software systems.

a5 Figs. 3, 6-10, and 12-41-39 are illustrations of computer display screens produced by the software systems.

Fig. 5 is an illustration of principles underlying the software systems.

Fig. 11 is a spider diagram produced by the software systems.

**Page 12, line 12 – 17**

a6 The Agile Manager can serve as a “management portal” through which people can view both internal organizational goals and external information available to help achieve these goals. The Portal’s functional architecture is called The Agile Manager, and has ~~three~~ four modules, the Agile Manager, the Agile Company, the Agile Baseline, and Agile Know-how, that can be used in a planning and management process:

**Page 14, lines 11 – 17**

a7 (7) a management action plan/agenda utility that managers can use to keep track of pending issues and actions for each strategic goal or initiative. As a result, users can learn about outstanding issues, upcoming agenda items, and the responsible parties. As a result, items are easily found and a user is allowed to see progress related issues before meetings so that less time is need to focus management meetings ~~are focused-on~~ substantive issues ~~more time effectively~~.

**Page 16, Lines 14 – 17**

a8 **Helps makes decisions based on benefits and risks to the business:** linking proposed initiatives to the model of the organization, and to costs, paybacks, and priorities makes it easier to understand the benefits and risks that could result.

**Page 16, line 22 – page 17, line 6**

a9 **Encourages people to continuously look for ways to improve the business:** enabling management team members to review a table of contents of their business, and to assess gaps between how good they need to be and where they are currently, and to set goals for closing these gaps; this ability of individuals or teams to step back and to “see” the table of contents and to reflect on what changes need to be made to be different in the marketplace and to improve performance is a key ingredient in creating a culture that continually looks for ways to improve the business

**Page 18, line 1-7**

a10 **The computing environment**

To use Agility Manager effectively, an organization may use an intranet with widespread

email and Web browser usage. Agility Manager is compatible with modern email

Q10 | systems and with Microsoft and Netscape Web browsers. Typically, no other client-side software is required.

**Page 20, lines 10 – 19**

**Overview of Corporate Processes Affected by the Agility Management Program**

a11 | The Agility Management Program helps leaders, managers, and staff conduct normal management practices in everyday corporate life while quickly and effectively using the power of the Internet ~~and effectively by being able to~~ gain access to knowledge needed to make decisions. Thus, the program helps leaders and managers to ~~both~~ execute daily operations successfully, ~~and to~~ continually improve the way they do business, to keep abreast of changing competitive conditions, and to deliver increasing value to their customers and owners.

**Page 20, line 21 – page 21, line 14**

**The Planning/Execution Cycle (Process)**

a12 | Technology is transforming virtually every aspect of commerce, and globalization and deregulation are making competition more complex. These forces are causing organizations to go through planning and execution cycles to launch multiple new initiatives to cope. To do this, organizations routinely make assessments of their performance — they consider best practices, they survey customer opinions, they examine market and competitive trends and practices; they create task forces and hire consultants who generate findings and conclusions. To handle these conclusions, organizations conduct planning to establish goals and design initiatives to improve their performance, —they hold retreats to develop these visions, and they decide on priorities and allocate resources to fund initiatives to bring these visions to fruition. To execute these initiatives, organizations assign staff and hire outside expertise and know-how to get the results they want. To get the results to stick, organizations undertake change management programs to bring people and organizational behaviors into line with what the new initiatives require.

**Page 21, lines 16 – 22**

a13 | The Agility Management Program's software enables people to get organized and communicate much easier and faster as they go through these planning and execution cycles ~~much easier and faster because of the enabling software~~, and to gain access to knowledge and tools that will help them understand how to implement their initiatives more successfully. Fig. 2 illustrates the relationship between the Agile Manager and common planning practices.

**Page 22, lines 1 - 17****Managing a Portfolio of Initiatives**

a14 | The planning/execution process is repeated again and again across organizations in different departments, functional areas, and lines of business. It is not uncommon for literally hundreds of initiatives to be underway in units across an organization. Some of the initiatives are local initiatives to improve a specific operation and typically do not need to be coordinated with other initiatives. Many initiatives, however, have multiple components that should be coordinated so that they contribute to the accomplishment of a single overarching goal. For instance, a new product requires that processes across the organization from sales and marketing, ~~to~~ through operations and manufacturing, and technology ~~as well as to~~ human resources be integrated and aligned so that the product will be introduced in time to exploit an opportunity in the marketplace. Similarly, introduction of new technology, such as a new workstation, often requires coordination of units from information technology, sales and marketing, human resource training, and administration before the new technology can be put into beneficial use.

**Page 22, lines 19 - 22**

a15 | The Agile Manager not only facilitates the planning/execution cycle for 20 any particular goal or initiative, but also allows the user to put all the priority goals and ~~the~~ each priority goal's contributing initiatives into a strategic implementation portfolio or hierarchy (Fig 3.).

**Page 23, lines 9 – 20****Helping Leaders, Managers, and Staff Play Their Different Roles**

a16 | People throughout an organization have distinct roles to play in the formulation and implementation of plans. Traditionally, these roles have been substantially formalized, with senior levels likely to do the planning and lower levels likely to do the implementation. Modern email and voice communication have flattened organizational structures by allowing ordinary employees to get access to information on their own without depending on senior levels as the source of knowledge. The Agile Manager allows effectively everyone to see the goals and projects important to the company and, as shown on Fig 4., helps people to play specific roles with a clear picture of the initiatives involved and allows people to contribute ideas.

**Page 25, lines 18 – 21**

a17 | After exercising Baseline, users may establish a new goal (by a “new goal” button on the domain screens) (see Fig. 7 for the screen that appears when the button is pushed) to improve performance. Once established, the new goal takes its place in the goal hierarchy and management can decide what should happen next.

**Page 25, line 23 – page 26, line 13**

a18 | For example, even if a goal “expand business with the most profitable customers” has been entered, ideas related to the goal have not been entirely fleshed out, resources have not been allocated, plans have not been formulated, and accountability has not been assigned. The goal is without projects necessary to bring about the desired results. To begin to put these projects together, users can use the gap analysis feature to view each domain and sub-domain in terms of how each domain or sub-domain would have to change if the goal is to be achieved. As users identify these changes, they create in effect a vision of a different company that would achieve the goal (see Fig. 12). In this example, two projects or goals to expand business with profitable customers are: to ~~design~~ deepen relationships with high net worth clients, and to have profitable products for every segment. Each of these two projects or goals may also in turn be analyzed in the gap

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analysis process to create other projects or goals that will make them a reality.

**Page 26, lines 15 – 20**

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As these projects or goals are defined, they are added to the Goals Hierarchy (see Fig. 3) that provides access to the strategic hierarchy of goals and contributing projects or goals that the company is working on to improve performance. If the user wants to get more information about the new goal or any goal listed in the hierarchy, the user clicks on the goal of interest to get to summary information as shown in Fig. 13 for the goal “expand business with most profitable customers.”

**Page 27, line 14 – page 28, line 12**

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In addition, the user can view the hierarchy against certain types of information that help inform the user about the impact of goals on the business domains (see Fig. 16) or the priority (see Fig. 17) or impact of each of the goals, or about its status, stage of development, or ownership accountability (see Fig. 18). Because these different views are a click away, the Agile Manager supports a dynamic decision making process where discussion can move quickly from strategic to tactical considerations. For example, if the topic is budgets, the user can sort by goal or project cost (see Fig. 19~~17~~), or by priority or return on investment (“payback”) (see Fig. 20~~19~~) and can be provided with information that can help the user decide where to commit resources based on factors such as benefit and risk. In another example, when managers meet and want to focus on key implementation issues, they can opt to switch to viewing “status” factors and can view goals or projects by status (e.g., on track or in need of attention) (See Fig. 18), which stage each is in (see Fig. 21~~20~~), risks, or who is responsible. Without the Agile Manager, each view would likely require a special study or report; the Agile Manager makes these different views available at a moment’s notice. In addition, managers who want to explore any goal or project in more detail can click on the goal or project of interest and get more information. Similarly, managers who see something missing while reviewing the overall hierarchy can select “new goal” from the menu and enter a new goal or project (see Fig. 22~~21~~).

**Page 28, line 14 – page 29, line 3**

In at least some embodiments, an especially important view managers 15 can use to manage the hierarchy is a view in which the goals and projects are sorted by domain. This view can be produced for any of a number of levels, e.g., for the entire hierarchy (see Fig. 16) or for a selected goal in isolation (see Fig. 2322). A purpose of this *view* is to allow managers to understand quickly what initiatives are underway or will affect an aspect of the business. For instance, if a question arises regarding what is being done about market trends, managers can click on any topic on the domain structure (e.g. customer relationships) (see Fig. 2423) and see immediately what initiatives are underway related to this topic (see Fig. 2524). Users can also execute searches by name or word in the title of a goal or project (see Fig. 2625), and can put Alerts in place (see Fig. 2726) that will flag changes that occur in goals or projects previously indicated as being of particular interest (see Fig. 2826).

**Page 29, lines 5 – 12****Executing Goals and Projects:**

A major purpose of the Agile Manager, in addition to planning and managing the overall portfolio of goals and projects (i.e.. the hierarchy), is to help managers accelerate implementation progress related to a goal and its contributing projects. A user has an array of choices to view when reviewing the progress of a selected goal. (The choices available depend on the permission that is granted by the Owner of a Goal to different types of users (see Fig. 2927)).

**Page 29, lines 14 – 21**

A “summary” page (see Fig. 13) contains information about the goal itself that can be edited (see Fig. 3028). Other main views for helping to manage include “progress” (see Fig. 3129) that displays the contributing projects or goals that must be finished or achieved before the parent goal can be fully accomplished. The “progress” view allows managers to view progress for the contributing projects side-by-side to determine whether the projects are properly synchronized or are out of phase with each other.



**Page 29, line 23 – page 30, line18**

Other features are useful for managers and teams executing goals and contributing projects. A “discussion” feature (see Fig. 3230) allows a user on the system to communicate directly about, and in the context of, the goal or project of interest. The owner of a goal can also select a particularly important part of the discussion and put it on an agenda (see Fig. 3331). Another useful feature includes an ability to link to internal and external sources of information that goal or project teams believe are important to make accessible to users involved (see Figs. 34 and 3532 and 33). The links provide a practical application of knowledge management because the links allow teams to place information effectively or actually one click away so users can get at the information without excessively disturbing the state of the software. For example, users can hot-link to and open a detailed Microsoft Project plan if the plan is useful to the discussions. Users can place Word documents related to the goal where the documents can be found, and open the documents when needed. Similarly, users can link to Web sites of outside consultants or suppliers that may be related to the goal at hand. In this way, users can start using the software through the domain structure, find out the relevant issues, and access relevant knowledge context sensitively along the way.

**Page 31, lines 1 – 11**

The Agile Company can be added to or made accessible from the Agile Manager and provides a survey that employees can take to assess how well the company or organization is managed in view of high performance criteria. The Agile Company software can be downloaded onto the client’s server and a user on the network can complete a questionnaire of multiple pages, such as 20 pages, (exemplified in Fig. 3634) and then the software can tabulate results to show strengths and weaknesses (see Fig. 37) for sample analysis. The Agile Company also has templates that can be made available to help clients get started with a change program designed to improve specific high performance traits (exemplified in Fig. 38)36.

**Page 32, line 20 – page 33, line2**

- **Functions from this screen:** If a user is unhappy with the placement of a goal or

initiative or wants to adjust attributes of the goal or initiative, the user has only to click on a goal or initiative listed to retrieve its related information. For example, a click on the initiative takes the user to a summary screen (see Fig. 13 for example) for this initiative. The following information fields are available for any goal or initiative:

**Page 34, lines 7 – 13**

- **Priority:** the benefit entry presents a numerical score from 1 (lowest) to 5 (highest) based on user judgement about the relative value of the initiative or goal in terms of improving the business results. For example, the goal may be rated 3 of 5, i.e., average. An advantage of a simple rating is that users can quickly understand the rating scale and then discuss specifically the reasons behind the rating.

**Page 35, lines 4 – 5**

- **Project Code:** (not shown) this field allows an alpha-numeric identifier to be assigned for administrative purposes.

**Page 35, lines 21 – 25**

- **Rank:** (not shown) this field is available for formulas developed for each client for calculating the ranking of each goal and initiative, including the combined values of initiatives contributing to a particular strategic goal.

**Page 36, lines 1 – 6**

- **Score:** (note shown) the score field relates to a unique calculation of the cumulative value of each goal and initiative based on weighting techniques appropriate to the user (e.g., alignment with corporate values, brand, payback, competitive position, management attitudes). Both the rank and score fields are provided to help users prioritize goals and initiatives in the portfolio.

**Page 36, lines 7 – 16**

- a30
- **Edit button:** when a user clicks on the edit button, the user is taken immediately to the **Basic Goal Edit screen** (see Fig. 3028) which allows the authorized owner to modify the basic information about the particular goal or initiative that has been selected. The Project Name and Description fields are for text, the Due Date is for calendar completion date information, and the other fields such as domain, status, benefit and risk priority, and stage present pop-up menus. When changes are submitted, the changes are automatically accessible to whomever uses the system and are captured in the history log.

Page 36, lines 17 – 22

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- **Delegate button:** this button allows the user to designate or redesignate the individual who is the owner of the goal or initiative by going to the **Delegate Screen** (see Fig. 36A34) and searching through names of candidates to whom responsibility can be delegated.

Page 37, lines 7 – 13

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- **Control Panel:** when this choice is made the user is presented with the **Control Panel view** (see Fig. 2927) and can review the permissioning rules. If the rules are satisfactory, the user can retreat and proceed along another path. If the rules need to be changed, the user clicks the edit button and is presented with another version of the **Control Panel** that can be edited and submitted. Only the authorized owner is able to make changes.

Page 37, lines 14 – 22

- a33
- **Project Briefing:** if the user wants to understand better how the 15 active goal or initiative relates to the parent goal, the user can click on this choice and will be presented with the **Project Briefing screen** (see Fig. 3735). Here salient information is displayed from the Objective field in the basic information related to the selected goal (see Fig. 3836). In addition, sources of knowledge that may be helpful to access are listed so that the user can hot-link to them if need be. In a typical embodiment, this screen cannot be edited and is just a view.

**Page 37, line 23 – page 28, line 3**

- **Goal Components:** when the user makes this choice, the user is presented with a **Goal Components** screen (see Fig. 3937) and, in a typical embodiment, views only the contributing goals that are related to the parent goal. From this screen the user can access different functions including:

**Page 38, lines 4 – 13**

- **Select Parent:** when the user wants to change the position of an initiative in the hierarchy, the user clicks on this button and is taken to the **Select New Parent** screen (see Fig. 4038). On this screen the user can either search for the new parent goal or initiative if the user knows its name, or click on “Select from Project Hierarchy” and be presented with another screen that lists the hierarchy. The user then selects a goal or initiative as the new parent, and when the user clicks on this selection, the original initiative is associated with the new parent and shows up so associated in the hierarchy.

**Page 39, lines 1 – 7**

- **Project History:** this button takes the user to a display of **project history** (see Fig. 4139) that shows when changes were made, from creation of the initiative to modifications to any of its attributes. This history can be very valuable for tracking key events in the life of a goal or initiative for analytic or other reasons. From this screen the user can also add comments to explain particular events, or add new events.

**Page 39, lines 8 – 16**

- **Links:** this button takes the user to a view (see Fig. 3533) of the links to any knowledge sources that the initiative team has chosen to put here so that the knowledge sources will be accessible to any members when necessary. An advantage of this facility is that with the domain structure linked to goals and initiatives and with knowledge linked to the goals and initiatives, the organization

037 is provided with a clear and natural organization for placing and locating critical information when needed. From this screen the user can add links (see Fig. 3432).

**Page 39, line 17 – page 40, line 7**

- **Gaps Analysis:** this button takes the user to the list of contributing goals/projects (with actual and desired weightings) by domain - screen (see Fig. 4312). From this list the user can determine whether the changes for each key domain have been identified. If the user is dissatisfied, the user can either select the edit button and change specific information about one or more of the existing contributing goals/projects or click on “Add” to get to the **Edit Contributing Goal screen** (see Fig. 7). In the latter case, the user can select a domain and enter the name of a new initiative, its actual achievement weighting (based on current status) and desired achievement weighting (based on the importance of this initiative to achieving the parent goal). When the new initiative idea is submitted, the software displays the Gap Analysis view with the new initiative added. The user can continue to add new contributing goals/projects by domain.

**Page 40, line 23 – page 41, line 4**

- **View Menu:** the menu at the top of the **Goal Hierarchy screen** (see Fig. 423) give the user access to hierarchical views that facilitate decision making related to creating the hierarchy itself, reviewing status, or flagging changes particularly interesting to the user. A description of each of the buttons is set forth in the following sections:

**Page 41, lines 5-6**

- **Select Domain:** When this is selected the domain structure screen is presented (see Fig. 243).

**Page 41, line 7 – page 42, line 2**

- **All Goals View:** when this button is clicked, the user is presented with screen (see Fig. 17) which repeats the hierarchy on the left and adds relevant information

on the right in five categories useful to users when the users want to assess the validity of the current goal hierarchy, including cost, payback priority, domain, and due date (expressed as time remaining before expected completion). From this screen, the user can select other views where the hierarchy is sorted by category represented by the column heading, e.g., is sorted in descending order of costs, **screen** (see Fig. 17), thereby helping people decide whether the level of investment required can be afforded. Likewise, using column headings as buttons, the user can sort the hierarchy into various views according to **payback** (see Fig. 2019), **priority** (see Fig. 2019), **domain** (see Fig. 16), or **due date**. These views facilitate meetings and deliberations where users need to quickly produce a variety of sorted views to achieve the variety of perspectives needed to reach informed decisions. For example, a view sorted by payback, with cost information also visible, helps users decide whether the return on investment will be sufficient to justify financially.

**Page 42, lines 13 – 21**

- **Status View:** this button takes the user to various views of the portfolio sorted by information fields that indicate how well the 15 goal or initiative is progressing. When the button is clicked, the **Projects by Status screen** (see Fig. 18) is presented, sorted by status categories and showing other column headings that can be clicked on to get **Projects by Stage** (see Fig. 2420) or by **Owner, Projects by Risk, and Projects by Due Date**. Armed with these views, users can decide where to focus their attention to keep projects on track.

**Page 42, line 22 – page 43, line 3**

- **Alerts View:** this button takes the user to the **Project Alerts View** (see Fig. 2726) which shows changes a particular user has identified as being of particular interest. From this view, the user can access the **Set Alerts** and **Set AlertsEdit** screens and modify the goals and types of changes the computer is to monitor and flag on the user's behalf.

**Please amend the drawing as follows:**

**Please cancel FIGs. 19 and 27.** The remaining figures have been renumbered accordingly, as have the references to those Figures in the Specification.

**FIG. 15:** in the first row of the table, please replace the value "3W" in the column labeled Due with the value --6W--. A copy of the figure with the change in red is attached.

A letter to the Chief Draftsman with a replacement Drawing that includes the above changes and that remedies the defects pointed out in the form PTO-948 is being filed with this response.